DOI FBMS Standard Operating Procedure (SOP)

*Department of the Interior*

SOP:AA-XX / Title

# Standard Operating Procedure

**Title:** Accounts Payable & Acquisition Workflow

**Description:** SOP describes interaction of acquisition and accounts payable workflow tasks.

| | |
|---|---|
| ***SOP Number*** | SOP:AA-XX<br><br>(where AA is abbreviation to mapping of main heading of outline for SOPs and XX is the number within the SOP) |
| ***Version*** | 1.0 |
| ***Creation Date*** | 3/25/2009 |
| ***Author(s)*** | Karen Selleck |
| ***Last Update Date*** | |
| ***Last Updated By*** | |

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# 1.0 Purpose of SOP

## *1.1 Intended Audience*

Acquisitions Contracting Officers, CORs, and AP Personnel; all bureaus

## *1.2 Collaboration Team*

Identify who collaborated on the development of the SOP and organization

| Name | Organization |
|---|---|
| | |
| | |
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| | |
| | |
| | |

## *1.3 Review Team*

Identify who reviewed the SOP, Role, and Approved Date

| Name | Role | Approved Date |
|---|---|---|
| Rich Resnick | FBMS DOI O&M | |
| Ginger Peltz | FBMS BP | |
| Dave Wunder | FBMS BP | |
| Elizabeth Romero | FBMS O&M | |
| Renee Montano | FBMS O&M | |

## *1.4 Definition of Terms*

Include definition of terms if appropriate

| Terminology | Description |
|---|---|
| 3-way match | Match of purchase order, goods receipt, and invoice before payment can be made. |
| GR/SES | Goods Receipt/Service Entry Sheet |
| Workflow<br><br><br>FBMS Business Workplace | The routing of electronic messages and work items through FBMS so various individuals can act on them.<br>Location in FBMS application where workflow is accomplished |

### 1.5 Assumptions, Dependencies, and Constraints

This SOP is intended to address workflow related to payment of invoices only (from the point of purchase order creation forward). It does not cover the process for workflow related to purchase request approvals, although that is described briefly in Sec. 2.2 as the beginning of the process.

### 1.6 Change / Version Control

Change and version control will be updated by both O&M and Deployment teams. CR's (both PSL and DSL) that impact the SOP should be captured as well.

| No. | Date | Object | Description of change | Name |
|---|---|---|---|---|
| | | | | |

## 2.0 Standard Operating Procedure

### 2.1 Process Description

In FBMS, there is a 3-way match required between the **purchase order,** the **goods receipt,** and the **invoice** before payment can be made. Because of this requirement, the **workflow** concept is used to ensure all three pieces are complete and approvals are in place prior to payment. Workflow routes electronic messages and work items through the system so various individuals can act on them. The final result is payment of the invoice once all workflow items are complete and approved.

The FBMS workflow, which is done through the FBMS (SAP) Business Workplace, is the method by which the work to complete the three-way matching process is accomplished. Internal messages can also be created in the Business Workplace.

Everything that comes into the business workplace inbox is either an e-mail notification (a general e-mail message sent by someone to you from within workflow) or an action item (a system message telling you that you need to act on an item in the inbox). The **Workflow** folder is where those specific work items that require your action will be found. If someone has just sent you an e-mail note with information, that will come into the **Documents** section of the business workplace inbox.

### 2.2 When the Process is Used

The acquisitions workflow process begins with the approval of the purchase request (PR). Before completing a PR, the requisitioner must select the approving officials for that PR. When the PR is saved, workflow is automatically routed to the first approver to notify him that action is required. That approver either approves or rejects the PR, and the workflow notifies the next approver (if there is one) as well as the certifying funds approver (final approver). Once the PR is fully approved, the purchase order is created. When the items or services ordered are received, the COR/RO noted on the purchase order must complete a Goods Receipt (GR) or Service Entry Sheet (SES). If an invoice is received prior to the COR/RO completing a goods receipt or service entry sheet, Accounts Payable will create the invoice in the system and park it; this action sends workflow notification to the CO/RO to complete the GR or SES on that item. The invoice will not be paid until that GR or SES is completed.

Once the GR or SES is complete, Accounts Payable can then post the invoice. Once posted, workflow will again be sent to the COR/RO—this time, to verify that the invoice should be accepted and paid. Once the COR/RO completes this step in the approval chain, it triggers workflow to the responsible Contracting Officer for final approval of the invoice. The final approval then removes the block on the invoice so that it can be paid (unless it is late, in which case it will trigger workflow back to the AP tech to add a late reason code prior to payment).

Workflow also sends reminder e-mails for workflow items that are not completed within a specified period of time.

### 2.3 Related Processes and other References

- Accounts Payable Participant Guide, D4; pp. 100-157 (for process flows on AP Invoice Processes). Contact your bureau's FBMS training lead for copies of functional area participant guides
- Work Instruction WF-01 (Invoice with Service Entry Sheets for Blocked Payment
- Work Instruction WF-03 (Parked Invoice Missing Service Entry Sheet or Goods Receipt)
- Work Instruction SWBP Manage Substitution Rule for Workflow
- Computer-Based Training FBMS Acquisitions Approver (in DOI Learn Catalog)
- Computer-Based Training FBMS Acquisitions Receiving Process, Navigate Workflow Module (in DOI Learn Catalog)

### 2.4 Who is involved in the Process

- AP Technician (AP_T)
- AP Team Lead (AP_TL)
- Acquisitions Contracting Officer (ACQ_CO)
- Contracting Officer Representative/Receiving Official (ACQ_COR)

### 2.5 Transactions used in the Process

Include all transactions and portal path for each

- **Home**>**My Tasks**> **Inbox**>**Workflow**

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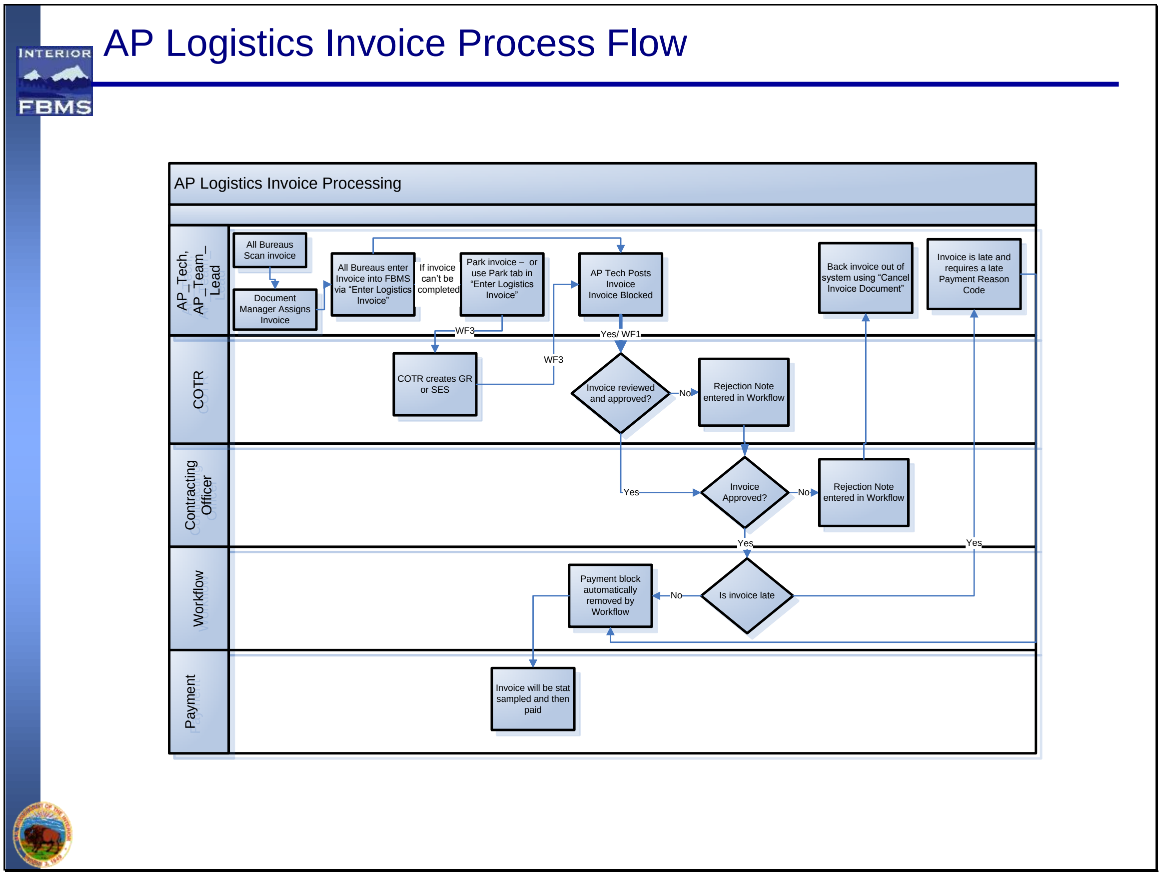
## 3.0 Process Flow




### *3.1 Process Overview*

All workflow basically works the same way; the differences are in what workflow items are associated with which roles, and which actions are associated with those items. For example, an Acquisitions Approver, who approves purchase requests, will receive workflow items related to the approval of the PRs, and will have to determine whether to approve the PR or reject it. A COR/RO will receive a workflow action item if a goods receipt or service entry sheet needs to be completed (because the invoice has been received by Accounts Payable, and cannot be paid until a GR/SES is complete). COR/ROs also receive workflow items requesting invoice approval and can approve or reject them, depending on whether the items or services have been received. Contracting Officers receive workflow to complete final approvals on invoices, and Accounts Payable Technicians receive workflow if a late invoice is approved by a Contracting Officer that requires a late reason code to be entered in the system prior to releasing for payment. Workflow notifications are received through the individual's regular bureau e-mail system, and the information in the notification informs the user to access their FBMS Business Workplace Inbox to complete the work item. To do this, the user should log into FBMS and follow the menu path:

**Home**>**My Tasks**> **Inbox**>**Workflow**

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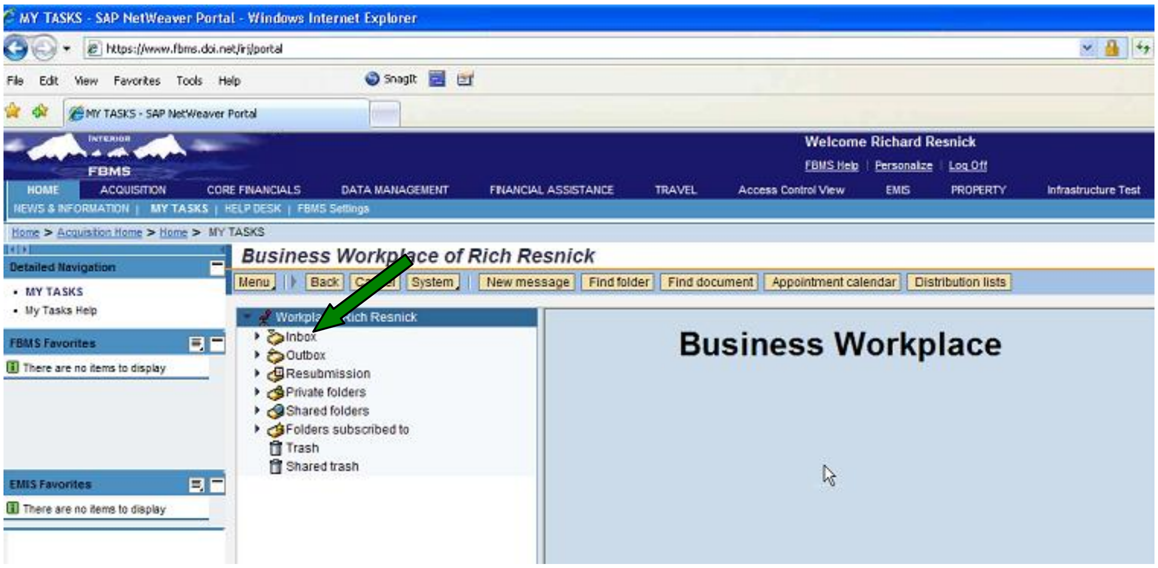
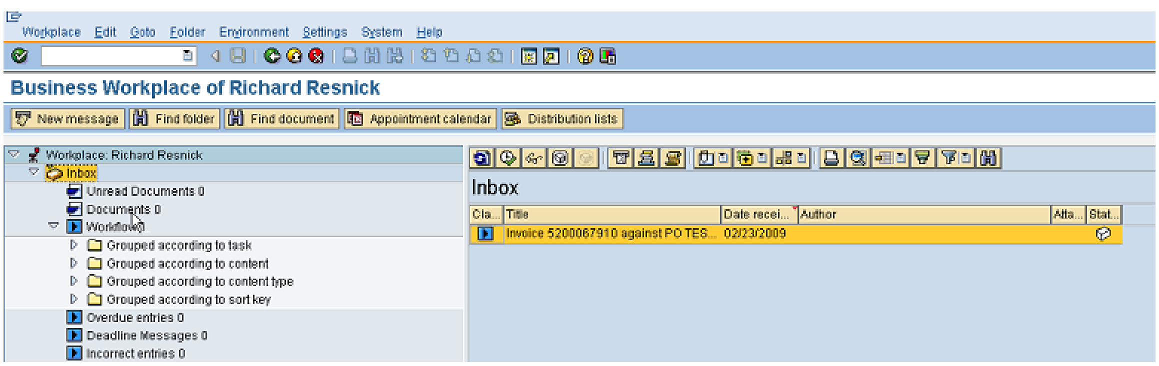
1. Once you are in the Business Workplace, double-click on the Inbox in the left-hand menu.



2. The two items to focus on in your inbox are **Documents**, which are any e-mail messages sent to you through the workflow system, and **Workflow**, which are the actual items you need to act upon. Next to each category you will see a number, indicating how many items are in your documents or workflow folders. To view your documents (messages) click on the documents folder, and then double-click on the items that appear in the right-hand **Inbox** pane to open and review them.



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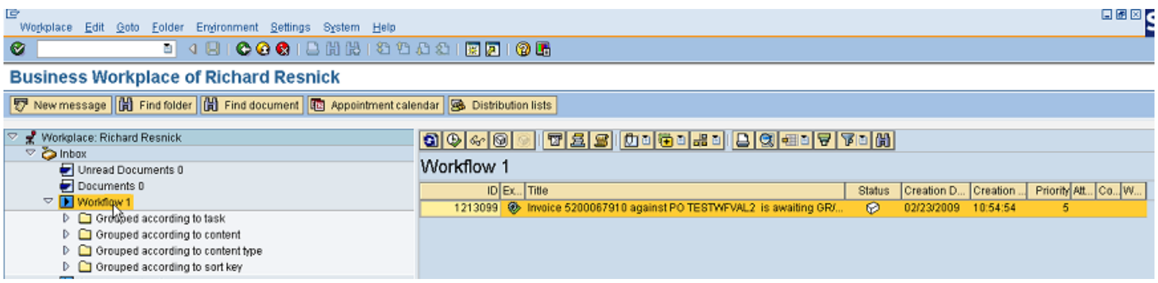
3. The actual work you perform in the Business Workplace is in your workflow inbox. When you receive e-mail (through your regular bureau e-mail system) that a workflow item is awaiting your action, the workflow inbox is where you go to retrieve and act on the item. In the below example, this user has one workflow item in his inbox. The title of the workflow item will tell you what action is needed; for example, “Invoice XXXXX against PO XXXXX is awaiting GR/SES”. This means that an invoice has been received against a purchase order and is awaiting completion of a goods receipt or service entry sheet before the invoice can be paid. This user then must go into FBMS, complete the GR or SES, and then return to workflow to complete this work item (the work item should not be marked complete until the GR or SES has been completed). To open any workflow item to complete the action on it, double-click on the item title.




## 3.2 Important Icons in the Workflow Inbox Screens

 Update Icon – This is a refresh. If you are waiting for something to appear in your inbox, you must hit the update icon. For example, if you are an approver for a purchase request, and you see the item in your inbox and display it so you can view it before approval, then cancel out of the display so that you can approve it, you will need to refresh your inbox by clicking on the update icon before it will reappear.

 Execute Icon – This does the same thing as double-clicking on a work item. It will display the item and information about it.

 Display Icon – Provides additional information about a particular work item.

 Reserve Icon – If you click on this icon, it will “reserve” your item. This tells the system that work on this item is in process by you. Any workflow administrator checking on the item will see that you have reserved it, and will assume this work item will be handled by you. A work item is also reserved by you if you open the item and then click “Cancel and keep in my inbox.”

 Replace Icon – This icon is used when a work item is sent to more than one person. For example, if an invoice goes out to 2 or 3 people for approval at one time, and someone reserves it, others cannot get to it. The one person who has reserved it must click on the “replace” icon to make it available to others; this icon basically puts the item in a ready state for others to work on.

 Forward Icon – this allows you to forward the work item to someone else. Forwarding a work item is not permanent. I.e., if you forward an item to someone and it is either rejected or not approved by that

person, the next time it is sent out, it will be sent to the original person who received it (not the person it was forwarded to). Also note that forward does not generate e-mail notifications in lotus notes, so if you forward an item to someone that needs immediate attention, you will need to let that person know to look for it in the documents section of their business workplace inbox.

Display Workflow Log Icon – Clicking on this icon will show the history of that workflow item. You can then click on the "tree" to see the details.

Other Functions Icon – Clicking this icon provides you with a drop down menu that will allow you to choose **send mail**, (and attachments, if there are any), to the document folder of someone's inbox.

Attachment Icon – This allows creation of an attachment or viewing an attachment.

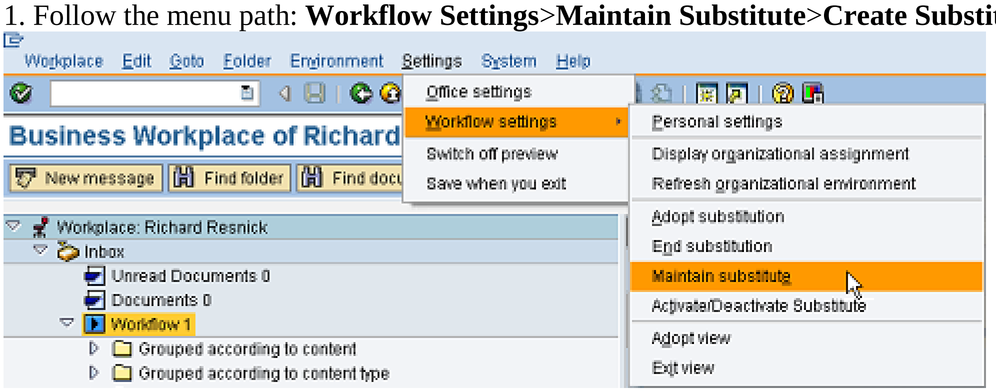
Print – Use to print the item.

### 3.3 The Manage Substitute Rule – Setting up a Proxy for your Workflow

Using the manage substitute rule allows you to forward work items or tasks to a substitute, or "proxy," when you are going to be out of the office. These items will continue to go to your inbox, but will also be sent to your substitute. You use this rule to set up a proxy to complete your tasks while you are out.

To set up a substitute (proxy),

1. Follow the menu path: **Workflow Settings**>**Maintain Substitute**>**Create Substitute**



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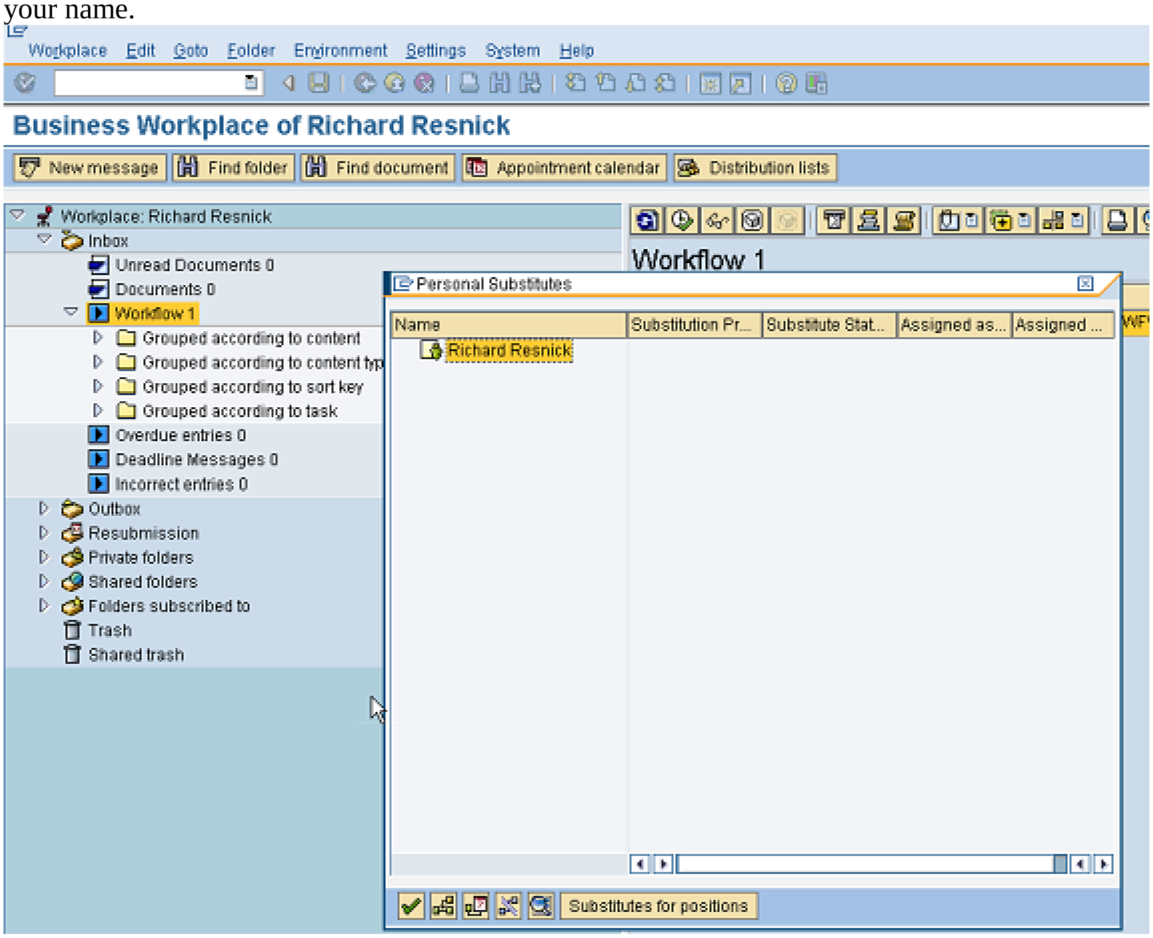
2. When the Personal Substitutes screen appears, you will see your name in the Name field.  Highlight your name.




3. Click the **Create Substitute** icon , then search for the substitute of your choice by typing in the last name and clicking . Be sure you pick a substitute who has the same role as you so that person can perform the same workflow duties as you can.

4. After selecting your substitute from the results screen, the detail screen for substitution will pop up. Enter the dates of the substitution period in the validity fields, click the checkbox next to the substitution active field ( 

) and click save .

5.  The substitute you chose will now be visible on the personal substitutes screen, and will be shown as activated.  Click  to complete.

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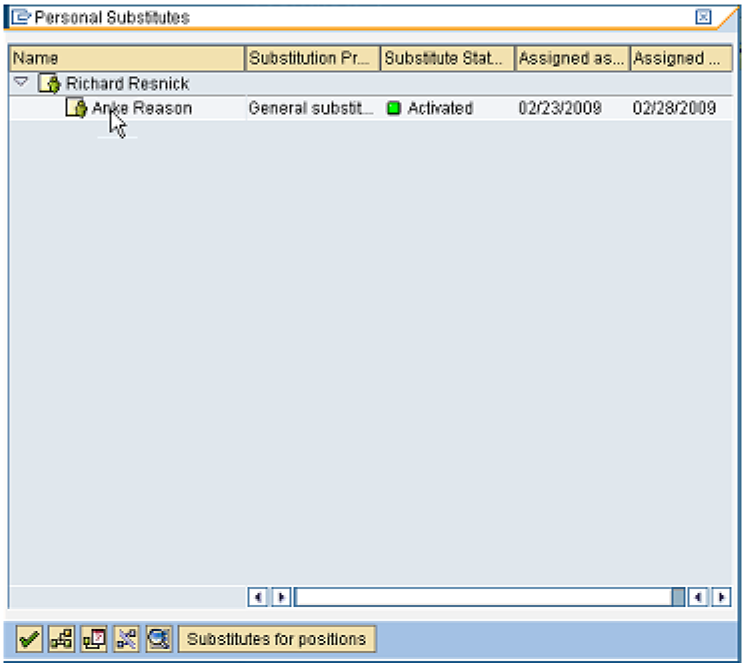


Additional Information on Substitutions:

- The substitution rule will deactivate on the date you selected; you do not have to deactivate it manually.
- If your return from your expected absence early, you can delete the substitute by following the menu path:
  **Workflow Settings**>**Maintain Substitute**>**Delete Substitute**
- Once a substitute is set up, you can simply activate or deactivate that substitute. This is the preferred method if you always use the same substitute when you are out of the office. To activate or deactivate a substitute you have already set up follow the menu path:
  **Workflow Settings**>**Maintain Substitute**>**Deactivate** (or **Activate**)
  Also, be sure to change the validity dates for your substitution period.
- Once you set up the substitute, both you and the substitute will get notifications on items. If the substitute handles it in your absence, the item will be removed from your workflow inbox, so if you return to find items in your inbox, it means the substitute did not handle those items.
- If you have something in your inbox when you set up a substitute, that item will not be passed on to your substitute; the rule only affects future items. If the item in your inbox is in process, you can forward it to your substitute using the forward icon.
- If you are a PRISM user, you will need to set up a separate PRISM proxy when you are out of the office. Managing your substitute here in your FBMS Business Workplace inbox will only affect R/3 (SAP) workflow items, not PRISM items.

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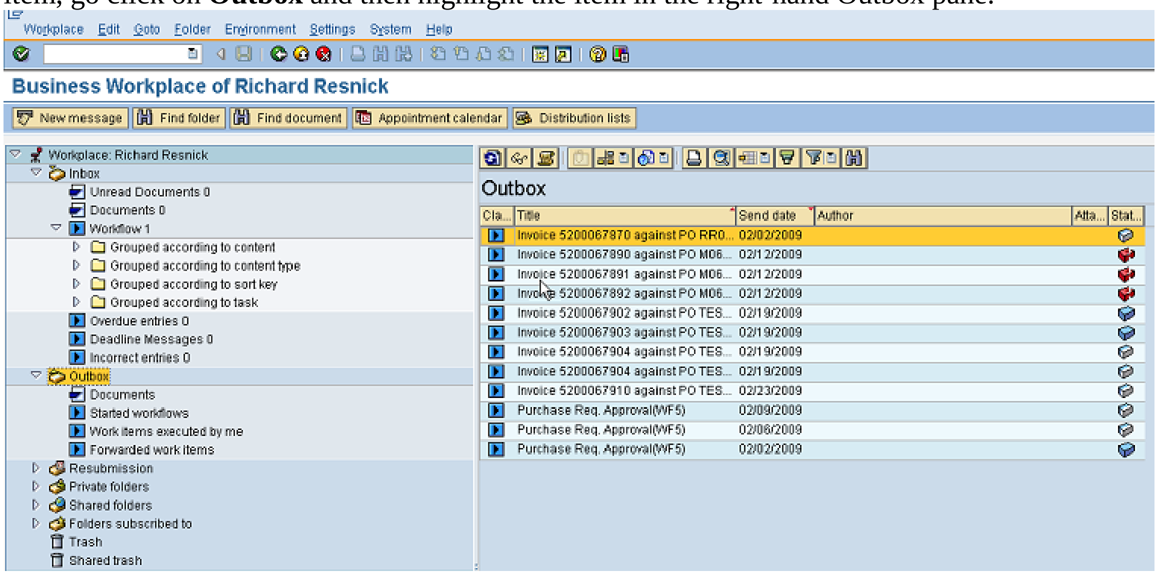
### 3.4 *The Business Workplace Outbox*

The business workplace outbox keeps everything you have started, executed and forwarded. The outbox is not a place for action, it is only a record, similar to "sent" items in regular e-mail. To see a log on any item, go click on **Outbox** and then highlight the item in the right-hand Outbox pane.



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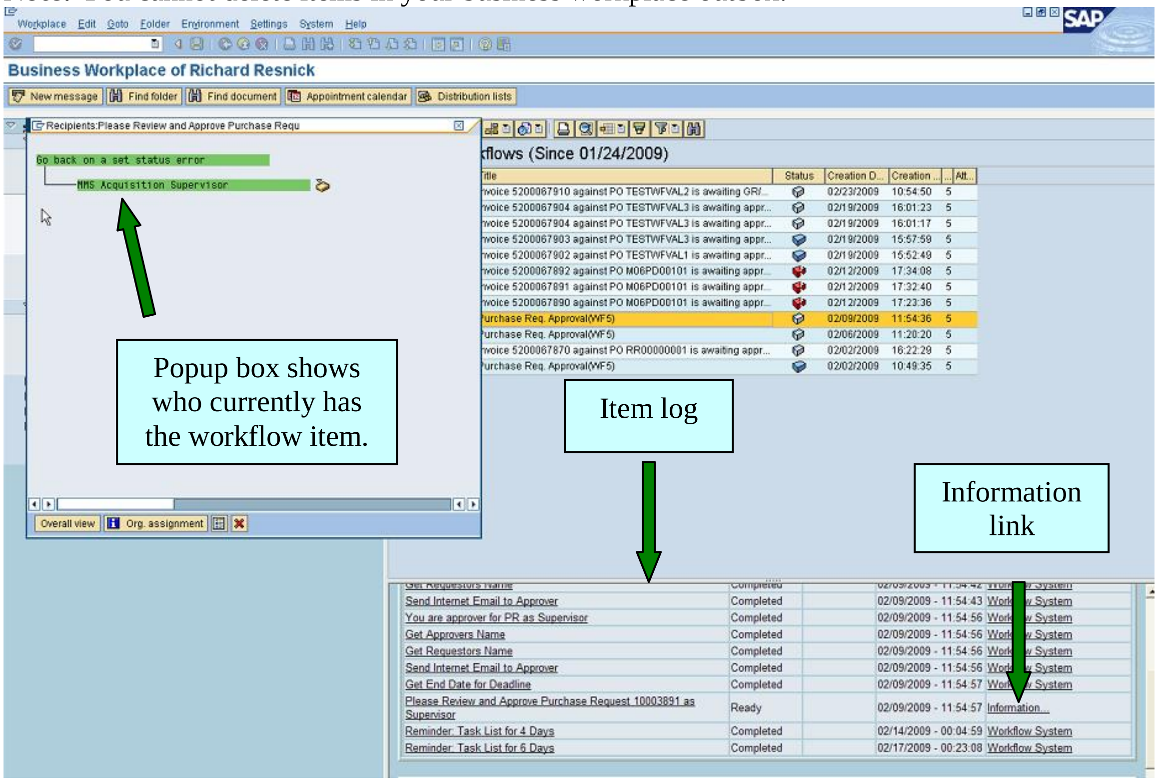
You will see the log on the item at the bottom of the screen (below). This enables you to track an item to see the current status of the workflow. Click the **Information** link in the last column. A popup box will appear showing you who currently has the item.
**Note:** You cannot delete items in your business workplace outbox.



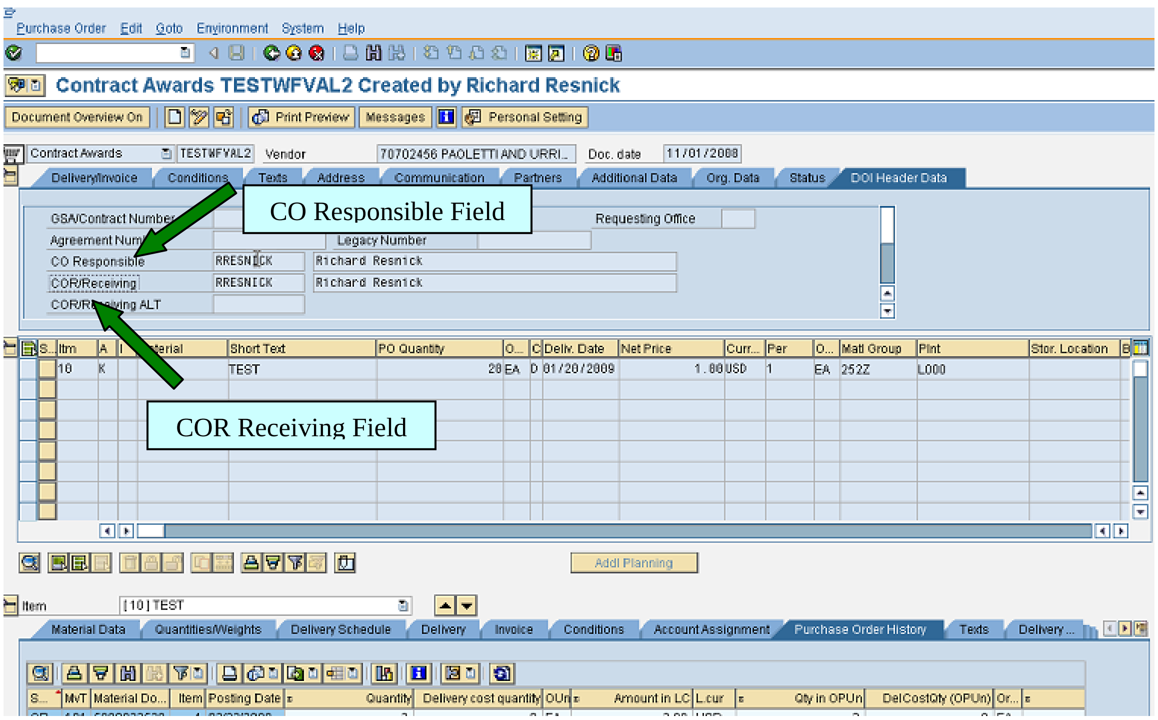

### 3.5 The Document Inbox

Items that appear in your document inbox are not action items, they are simply notes (e-mails) sent from other individuals to you in the workflow system. This inbox can serve as a place for back and forth "conversations" between the accounts payable staff, the contracting officers, and others who receive workflow items, such as approvers. You can delete items from your document inbox if you wish to by highlighting the item and clicking on the delete (trashcan) icon. Otherwise, these items will remain in your document inbox.

### *3.6 Workflow for Acquisitions Roles: Driven off Fields on the Purchase Order*

<u>CO Responsible field</u> – The individual's name populating this field is where the final invoice approval workflow notifications will be sent.

<u>COR/Receiving field</u>– This individual will receive the workflow notifications that a Goods Receipt or Service Entry sheet must be done (this notification is only sent if the AP tech has received and entered an invoice, but has parked it because the GR or SES has not yet been completed). This individual will also receive another workflow notification once the AP Tech posts the invoice, requesting invoice acceptance. If the GR/SES was completed prior to the invoice being posted, then the COR will only receive the workflow for invoice acceptance. Once the invoice is accepted by the COR, a workflow message will be sent to the CO responsible for final approval.



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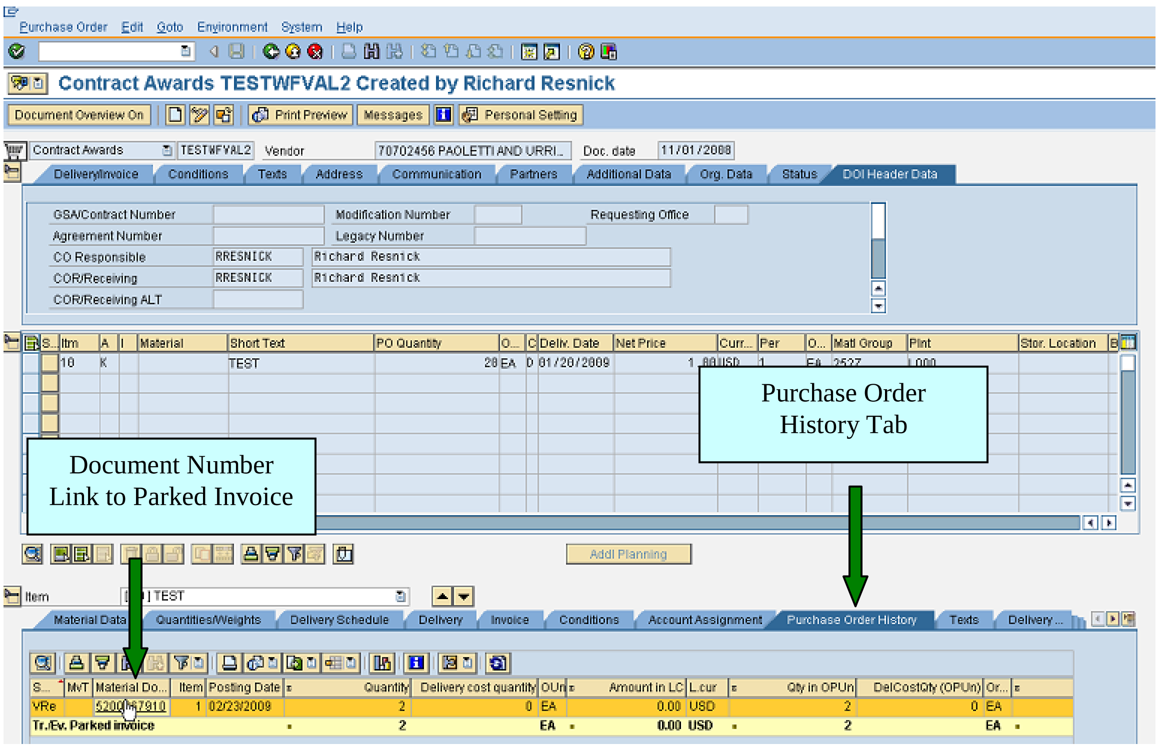
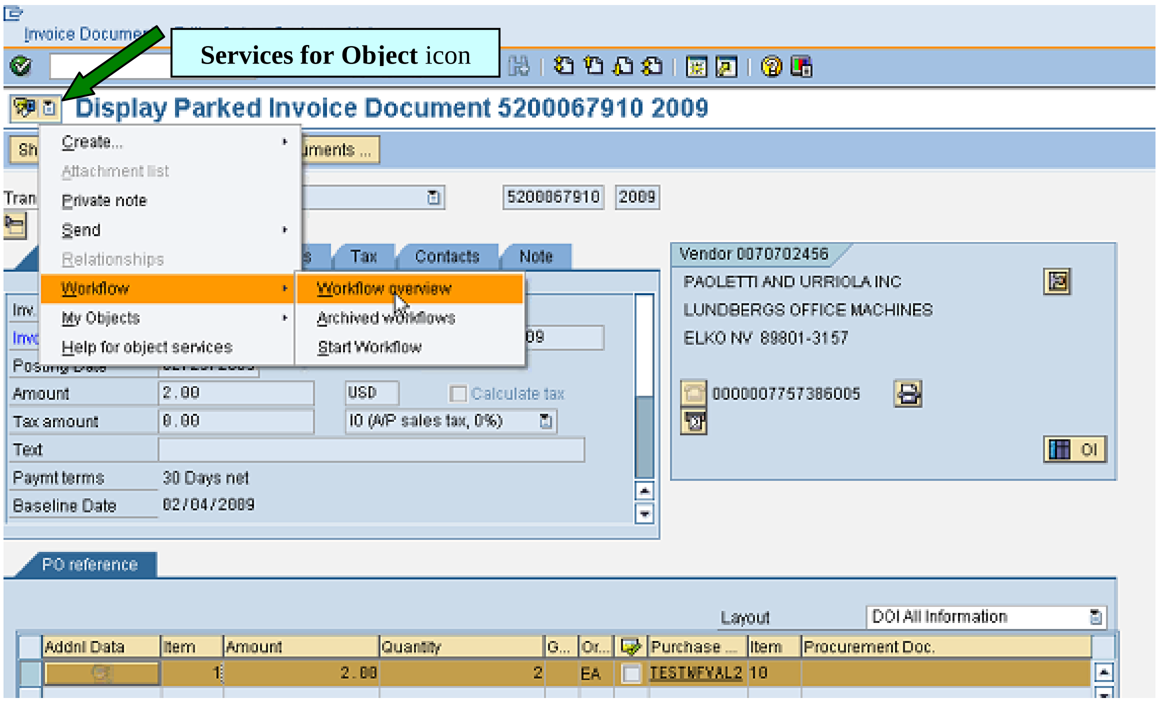
### *3.7 Determining the Status of Workflow for an Invoice*

If an invoice has been created and parked because there was no goods receipt created, a user can go to the **Workflow Overview** to see the status of that parked invoice.

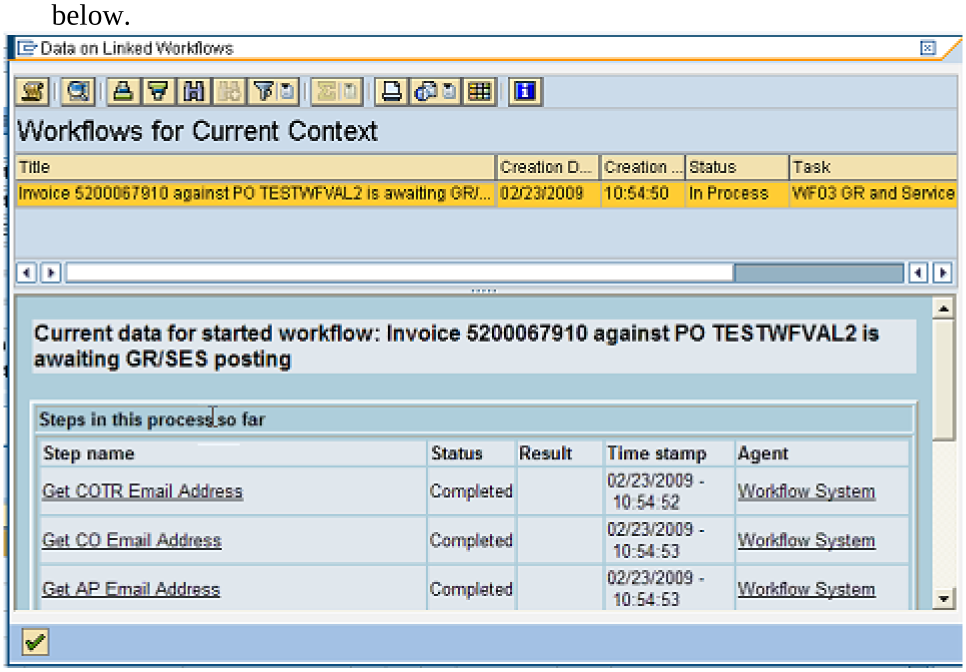
1. From the purchase order screen, click on the **Purchase Order History** tab. Then click the **document number link** for the parked invoice to go to the **Display Parked Invoice Document** screen.



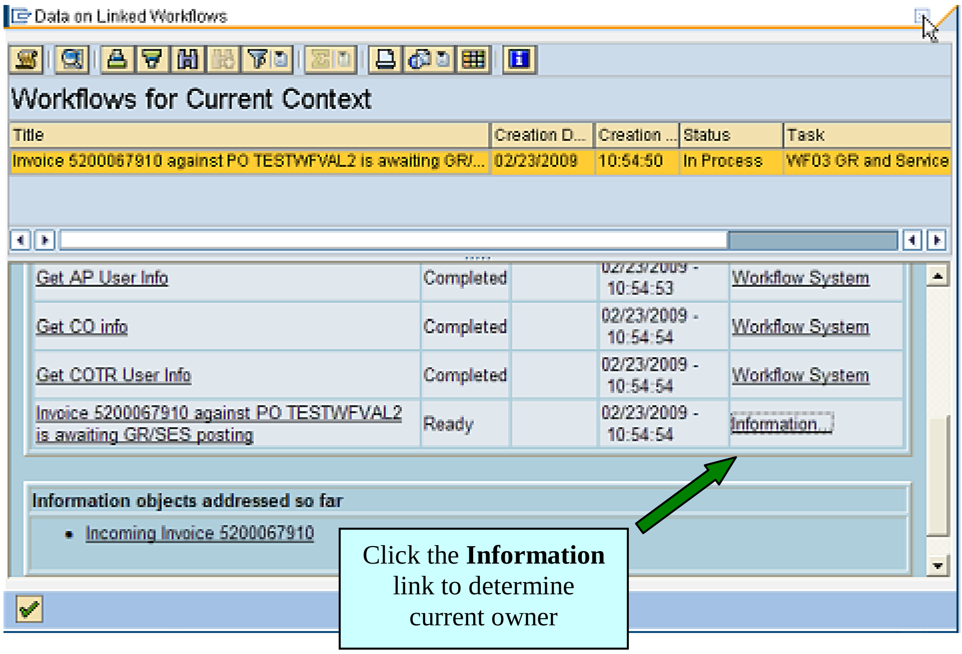
2. From the Display Parked Invoice screen, select the **Services for Object** icon and select **Workflow**>**Workflow Overview**.



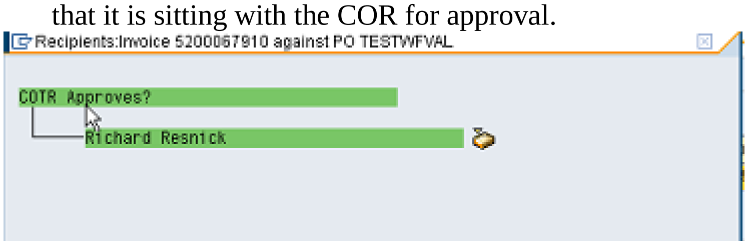

3. The **Workflows for current Context** screen will show the workflow trail for this invoice, as seen below.



4. Scroll to the bottom item to see the current status of the workflow (below). In this example, you can see that the invoice is awaiting a goods receipt or service entry sheet.



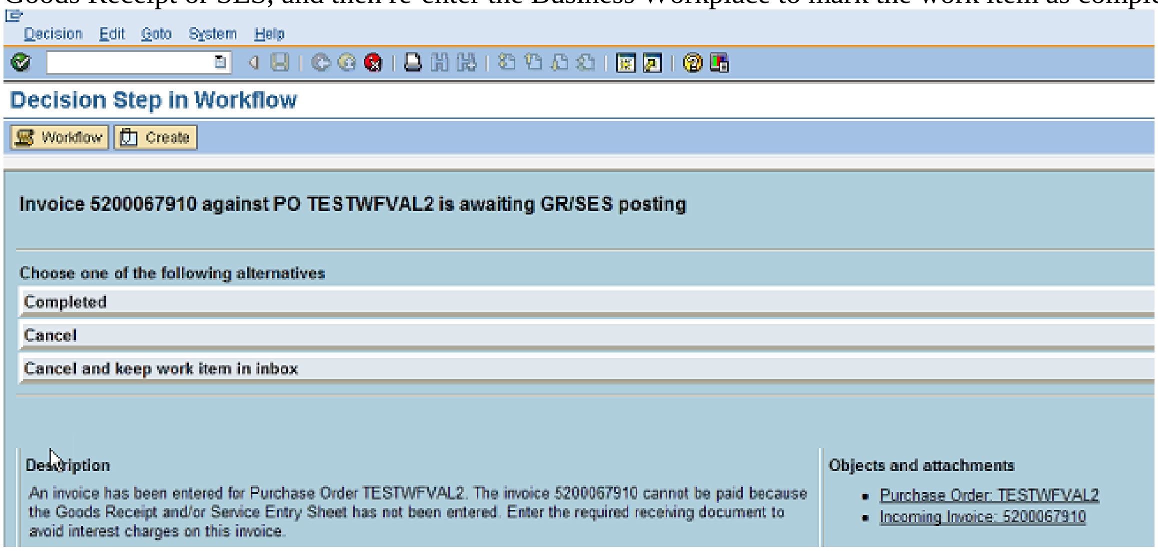

5. By clicking the **Information** link to the right of the last item in the list, you can see with whom the workflow currently resides and what the needed action is. In the below example, you can see that it is sitting with the COR for approval.




**Note:** Although you can use the above method within workflow to determine whether an individual invoice has been paid, if you are interested in the status of the overall document to see if it is zeroed out and completely paid, you have to go to BW/EMIS and run the UDO (undelivered orders) by Purchase Order report (see SOP on this topic for detail on running this report).

### 3.8 Process for Invoice Received without Goods Receipt or Service Entry Sheet

If Accounts Payable has received and entered an invoice, but no goods receipt or service entry sheet has been done, the invoice is parked. This action sends a workflow notification to the COR identified on the purchase order (in the COR Receiving field) telling him that he must do the GR or SES. The COR should **NOT** mark that work item completed through a workflow action until he has actually done the GR/SES, because once the work item is marked complete, that immediately sends a workflow message back to AP telling them to post the invoice for approval. If the GR/SES has not been completed, AP will try to post the invoice but will still not be able to do it. The COR must leave the Business Workplace, complete the Goods Receipt or SES, and then re-enter the Business Workplace to mark the work item as complete.




Once the CO opens the work item, there are three choices:
Completed – This should be the choice if the GR/SES is now complete, and the COR now wishes to accept the invoice. This action kicks off workflow to the AP Tech to post the invoice.
Cancel – Selecting Cancel is indicating a rejection. This would be the choice if the COR does not intend to complete the GR/SES (for example, if the item or service has not been received).
Cancel and Keep Work Item in Inbox – This would be the choice if the COR needs to do further research and does not want to take immediate action. The work item will remain in his inbox until he is ready to proceed.

**Note:** If you select cancel you will be asked to enter text to describe why you are canceling (rejecting) it. This rejection text will show up as an attachment to the work item.

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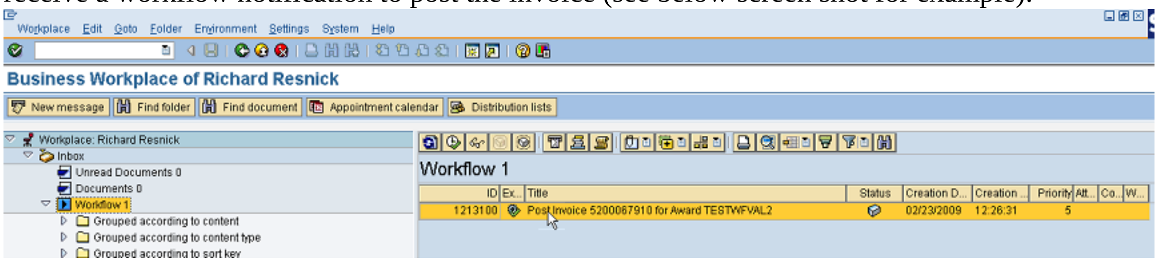
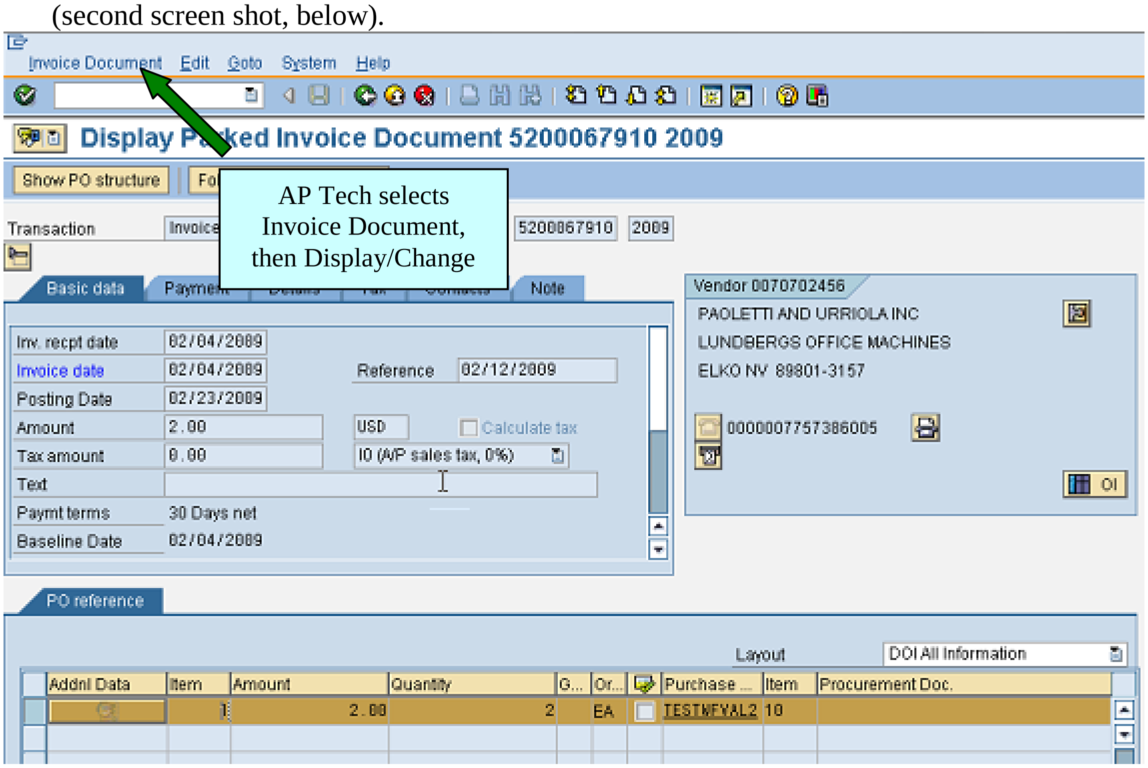
Once the CO/RO completes the GR or SES and marks the workflow item as completed, the AP Tech will receive a workflow notification to post the invoice (see below screen shot for example).




To post the invoice from the workflow, the AP tech follows these steps:

1. Double click on the work item to go to the **Display Parked Invoice Document** screen (below).
2. Select **Invoice Document**, **Display Change** to go to the **Change Parked Invoice Document** screen (second screen shot, below).



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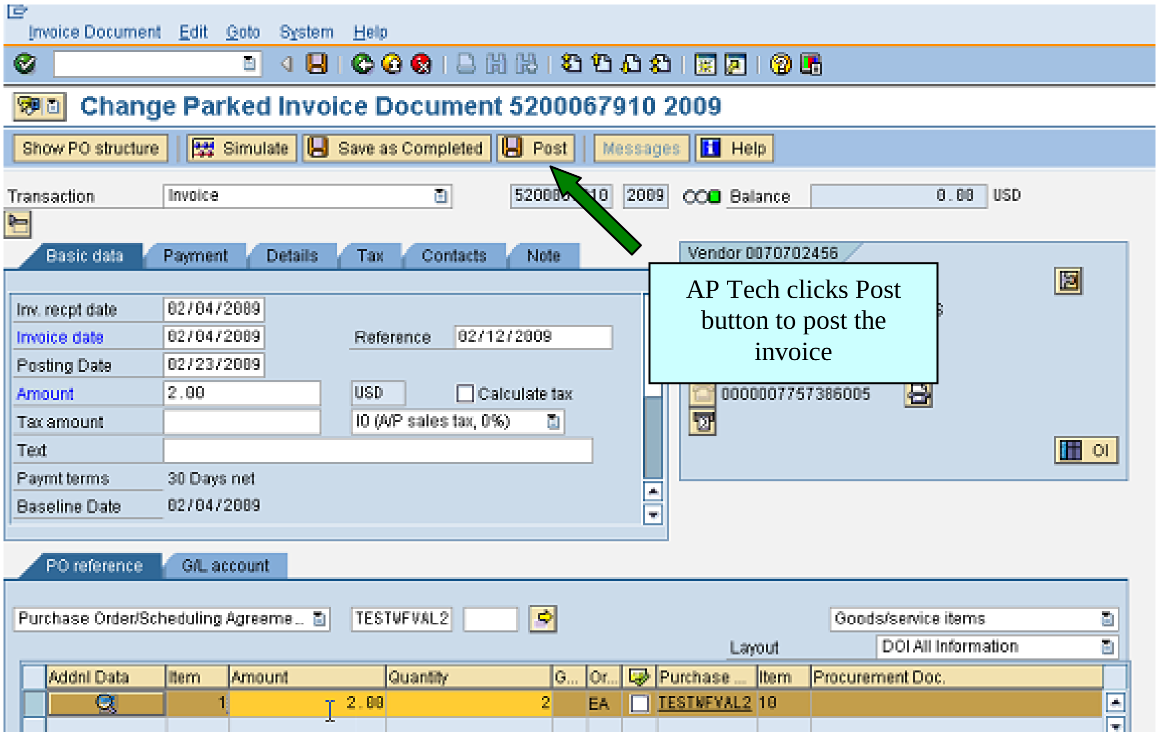
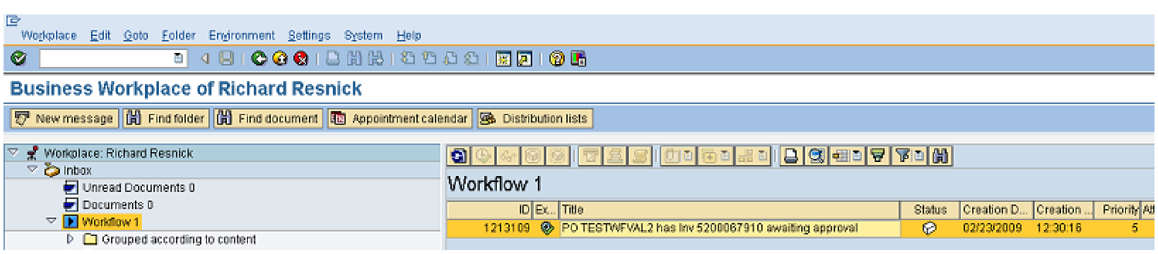
3. Click Post . Additional prompt pay information will come up.




4. Click the back button to return to the business workplace screen.

**Note:** Once the above steps are complete and you return to your inbox, notice that the workflow item is still there. Click the **Update** icon to refresh your screen and remove the work item from the inbox.

After the AP Tech posts the invoice, a workflow notification is sent back to the COR/RO requesting approve the invoice (example of screen below). This COR approval step that must be done prior to the final approval by the CO.

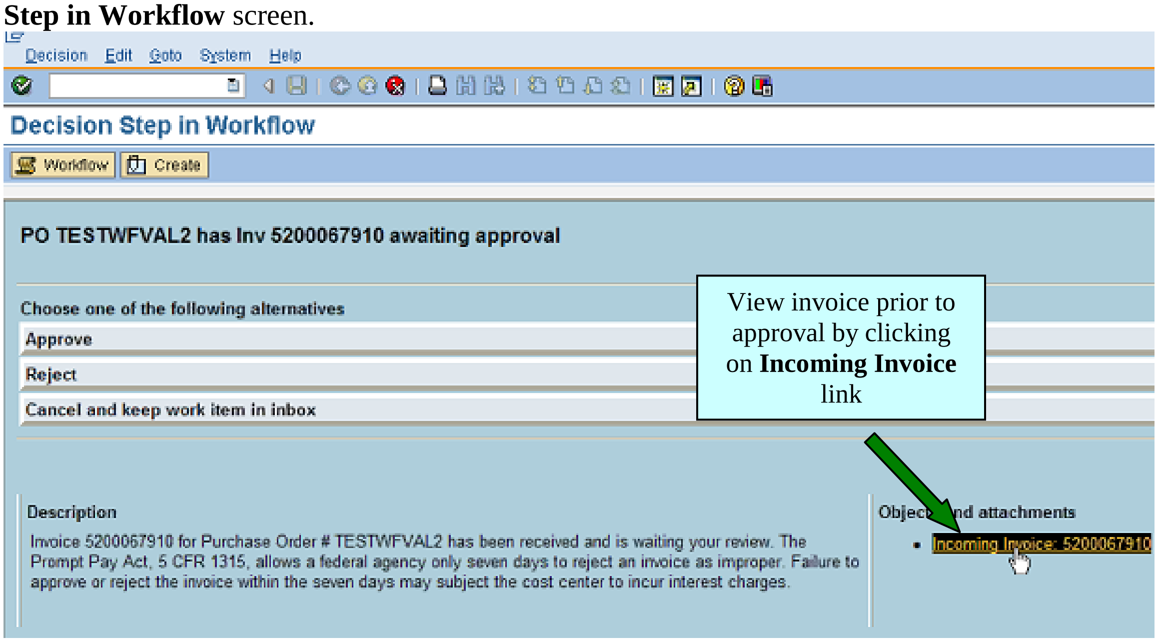


To approve the invoice, the COR follows these steps:

1. Double-click the work item, to see the following choices:
   - Approve – Selecting Approve will kick off workflow to the Contracting Officer for final approval of the invoice. The CO follows the same steps for invoice approval as the COR (outlined below). After approval by the CO, the invoice will be released for payment, unless it is late, in which case workflow is triggered back to the AP Tech, who must access the work item and put in a late reason code before releasing it for payment.
   - Reject – Reject should be used if the user wants to reject the invoice; for example, if the invoice amount is incorrect. If an item is rejected, the user will be prompted to enter text for why he is rejecting the item; this text shows up as an attachment to the workflow item.
   - Cancel and Keep Work Item in Inbox – This option should be chosen if the user needs to do further research and does not want to take immediate action. The work item will remain in his inbox until he is ready to proceed.

2. View Invoice Prior to Approval

The COR should view the invoice prior to approval by clicking on **Incoming Invoice** link in the **Decision Step in Workflow** screen.



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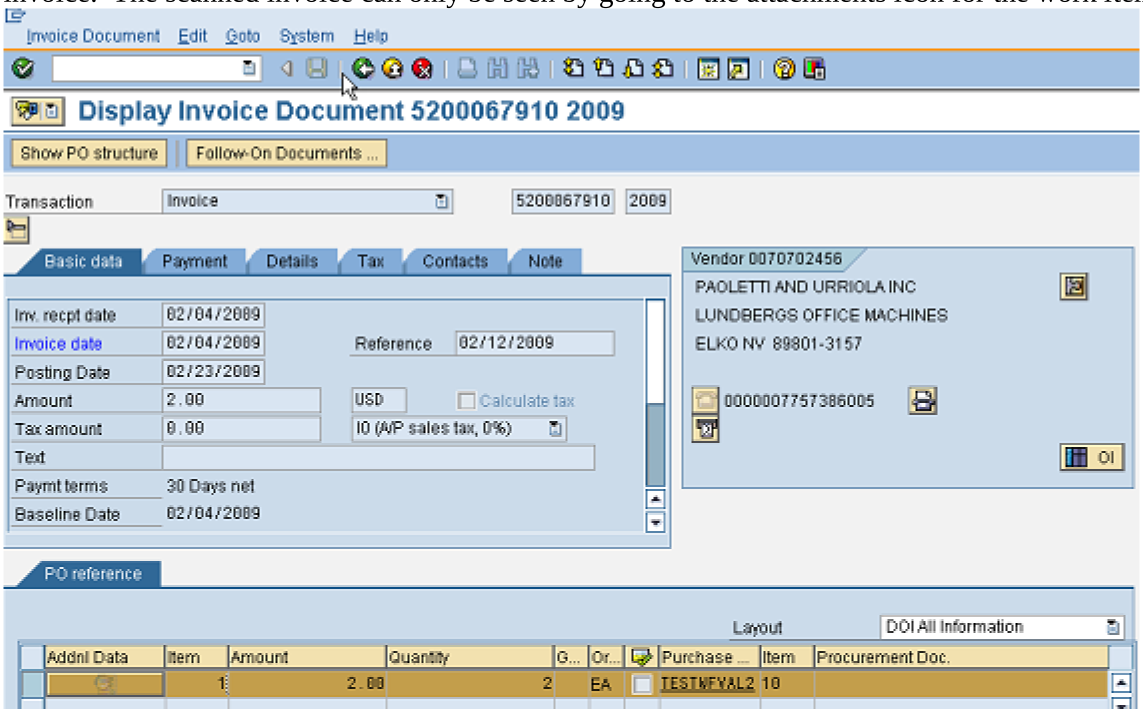
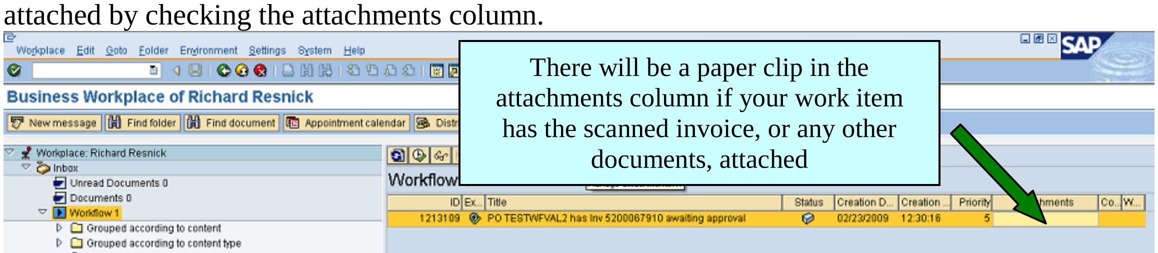
**Note:** Viewing the invoice from the **Incoming Invoice** link (seen below) will not display the scanned invoice. The scanned invoice can only be seen by going to the attachments icon for the work item.

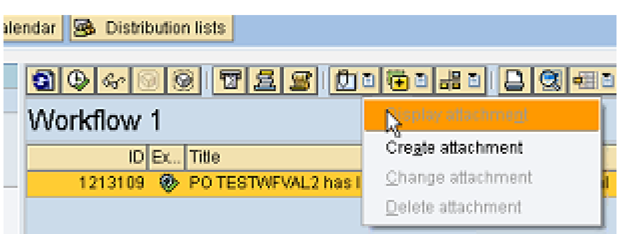



## 3.9 Viewing the Scanned Invoice

From the business workplace workflow inbox pane, you can see if the work item has the scanned invoice attached by checking the attachments column.




If the scanned invoice is attached, you can view it by highlighting the work item, and selecting the **Manage Attachments** icon at the top of the workflow pane. Select **Display Attachment.**



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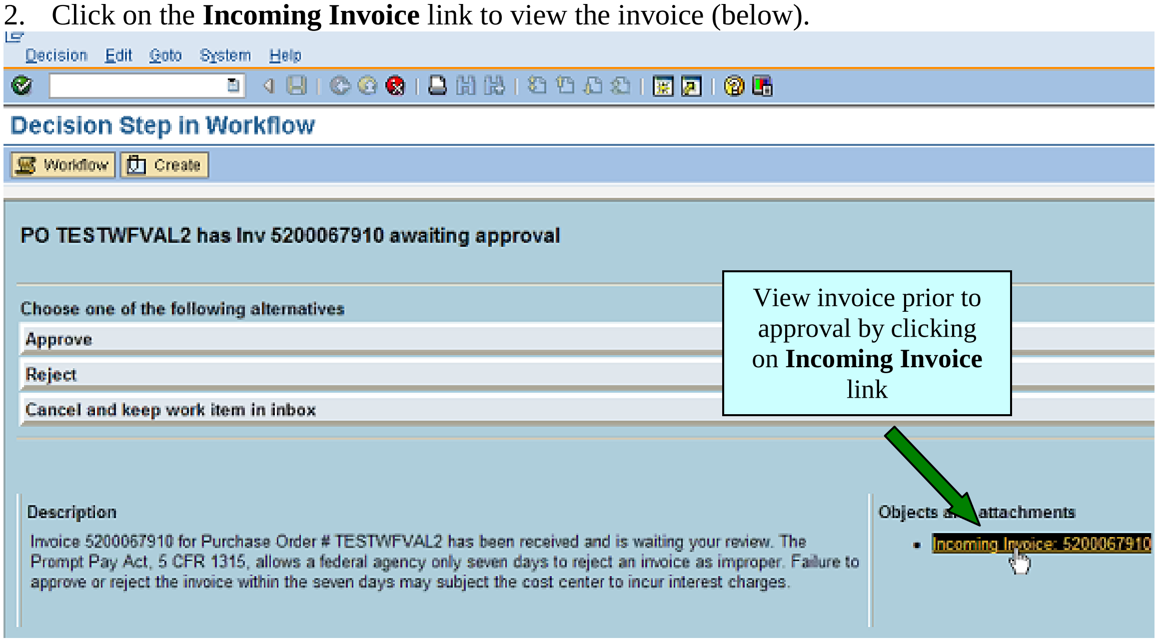
**Business Process Note:** The scanned invoice **must** be attached before the COR/RO approves the invoice. If the scanned invoice is not present, the COR/RO should contact the AP tech (using either the bureau e-mail system or by sending a message within workflow) and tell them to scan and attach the invoice. Do **not** reject the invoice because it is lacking a scanned copy, because rejecting it will require the AP Tech to reverse or cancel the posted invoice and then re-enter it in order to scan an invoice and attach it. Rejection should only be used if either the COR/RO or the CO truly want to reject the invoice after seeing the scanned version.

### *3.10 Determining AP Tech Associated with the Invoice*
If the COR or CO needs to contact the AP Tech (for example, to tell the AP Tech to attach the scanned invoice), he needs to determine the name of the AP Tech associated with that invoice. To do this, follow these steps:

1. From your workflow inbox, click on the work item to open it.
2. Click on the **Incoming Invoice** link to view the invoice (below).



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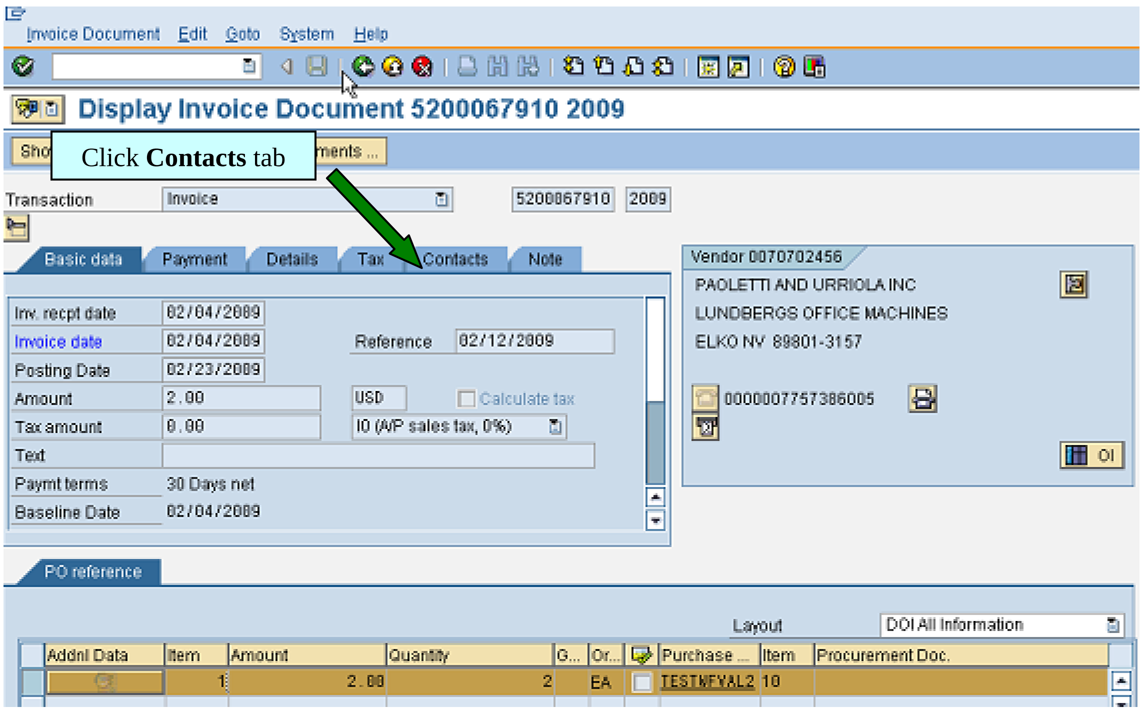
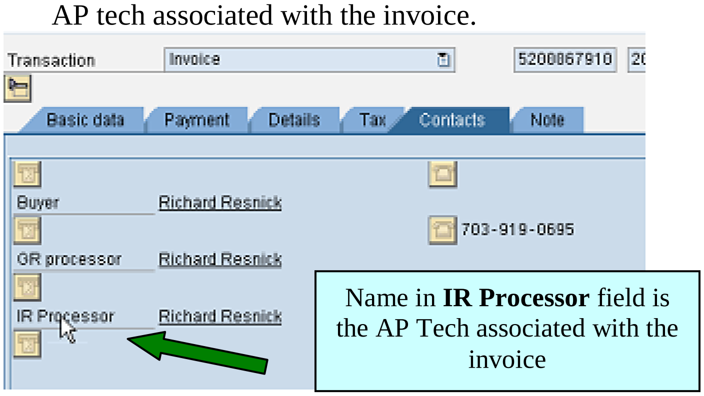
3. From within the Display Invoice Document screen, click on the **Contacts** tab.



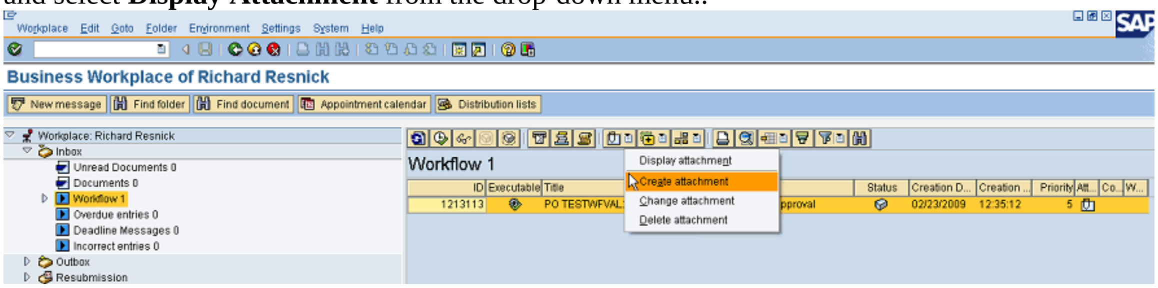

4. Scroll down to see the **IR Processor** field (Invoice Receipt Processor) to determine the name of the AP tech associated with the invoice.



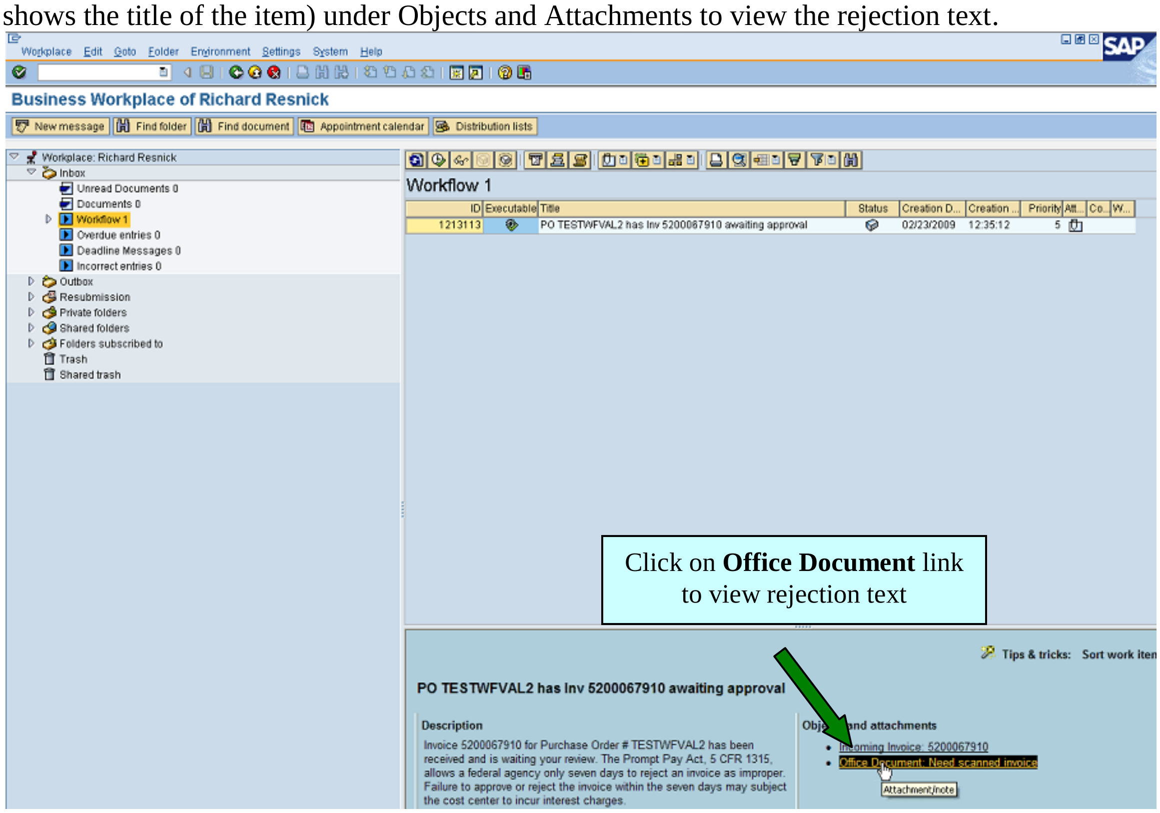
### 3.11 Viewing Rejection Text

If a COR or CO has rejected an invoice, he will be prompted to enter rejection text, a description of why he is rejecting the item. This text will show up as an attachment. There are two ways to view the rejection text:

1. Viewing as you would view any attachment:
   From within your workflow inbox, highlight the work item. Click on the **Display Attachment Icon** and select **Display Attachment** from the drop-down menu..




2. From within your workflow inbox, highlight the work item. Click the **Office Document** link (which shows the title of the item) under Objects and Attachments to view the rejection text.



## 4.0 Troubleshooting/Common Errors

- Error message/Action/Examples – common transaction errors, BP questions

| ***Error*** | ***Description*** | ***Resolution*** |
|---|---|---|
| Incorrect routing | Workflow is being routed to the wrong individuals | Check and modify your contracts to ensure that the correct CORs and COs are identified. |
| | | |

## 5.0 SOP Approval

| ***Name*** | ***Role*** | ***Approved Date*** |
|---|---|---|
| | FBMS PMO – Business Process Team Lead | |
| | FBMS PMO – Production Support Manager | |